

## **APPENDIX**

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**Section 1: Responsibilities of the Operating Unit Executive  
Resources Board (OERB)**

The primary responsibilities of OERB's (subject to the policy direction of the Departmental ERB) are to conduct the merit staffing process for the Senior Executive Service, assist the operating unit head in managing the executive resources and programs of their respective organizations, and develop internal procedures and guidance.

Listed below are typical functions and responsibilities which the Secretarial Officer or Head of the Operating Unit could delegate to the OERB. The role of the OERB is advisory.

**A. Executive Personnel Planning.** This could include:

- (1) Determining operating unit executive allocations needs.
- (2) Distributing of executive allocations.
- (3) Developing of executive staffing procedures.
- (4) Forecasting executive requirements.
- (5) Establishing executive development objectives.

**B. Executive Position Staffing.** This could include:

- (1) Monitoring executive merit staffing process.
- (2) Evaluating candidates' qualifications.
- (3) Establishing rating/ranking panel.

**C. Executive Development.** This could include:

- (1) Establishing Executive Development Programs.
- (2) Selecting candidates.
- (3) Approving individual development plans
- (4) Evaluating candidates' performance.

- D. Position Management.** This could include:
  - (1) Establishing priorities for use of vacant executive positions.
  - (2) Determining SES position status designations.
- E. Pay Management.** This could include:
  - (1) Setting pay for initial appointees.
  - (2) Recommending non-performance related SES pay rate adjustments.
- F. Development of policy on discipline and removal.**
- G. Affirmative action.**
- H. Performance and incentive awards.**
- I. Performance appraisal system policies and procedures.**

The above listing is not inclusive and intends that OERB's will be involved in operations which may include individual executive personnel management actions.

## **Section 2: Guidelines for Developing and Establishing Qualifications Standards**

- A. Qualifications Standards shall be developed for all senior executive positions in accordance with this guide, OPM instructions; and Federal regulations when: a new position is established; an existing position is substantially altered; or a vacancy occurs and the position to be filled has a Qualifications Standard which was not prepared in accordance with these guidelines. The Qualifications Standard must be approved by the Chairperson, OERB, and applied to all candidates equally and impartially.

The operating unit personnel staff shall provide professional assistance to management officials in preparing a Standard. In addition, Departmental staff is available to provide assistance.

- B. The Qualifications Standard identifies the position's essential requirements and allows for impartial assessment of the relative capacity and fitness of candidates. The OERB approved Qualifications Standard must be:

- (1) Based on a job analysis, (utilizing sources such as position descriptions, performance plans, and the supervisor's knowledge of the position) to identify the managerial/executive and professional/technical skills, knowledges, abilities, and other factors (SKAF's) required.
- (2) Specific enough to identify qualified candidates and make qualitative distinctions among them when referring candidates to the selecting officials.
- (3) Job related, reflecting a clear relationship to the duties to be performed.
- (4) Consistent with the SKAF's identified in the job analysis as being important to the position.

- C. A Qualifications Standard may not include:

- (1) A minimum length of experience as an essential element for any position;
- (2) Any criterion prohibited by law or regulation, e.g., age, sex, race, color, religion, national origin, marital status, handicapping conditions or political affiliation; or

- (3) A minimum educational requirement beyond that authorized for similar positions in the General Schedule.

D. The following executive core qualifications must be included in the SES Qualifications Standard. They provide the focus for the OPM Qualifications Review Board (QRB) analysis of executive qualifications of candidates proposed for initial career appointments to SES positions.

(1) **Strategic Vision**

This core qualification involves the ability to ensure that key national and organizational goals, priorities, values, and other issues are considered in making program decisions and exercising leadership to implement and to ensure that the organization's mission and strategic vision are reflected in the management of its people.

Key Characteristics include:

- (a) Identifying and integrating key issues affecting the organization, including political, economic, social, technological, and administrative factors.
- (b) Understanding the roles and relationships of the components of the national policy making and implementation process, including the President, political appointees, Congress, the judiciary, state and local governments, and interest groups.
- (c) Exercising leadership and motivating managers to incorporate vision, strategic planning, and elements of quality management into the full range of the organization's activities.

(2) **Human Resources Management**

This core qualification involves the ability to design human resource strategies to meet the organization's mission, strategic vision, and goals and to achieve maximum potential of all employees in a fair and equitable manner.

Key Characteristics include:

- (a) Acquiring a diverse workforce with the necessary knowledges, skills, abilities and/or potential through appropriate planning, recruitment/outreach and selection processes.
- (b) Assessing employees' unique developmental needs and providing developmental opportunities which maximize employees' capabilities and contribute to the achievement of organizational goals.
- (c) Fostering a working environment where people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.
- (d) Providing leadership in setting the work force's expected performance levels commensurate with the organization's strategic plan objectives.
- (e) Promoting quality through effective use of the organization's performance management system (e.g., establishing performance standards, appraising staff accomplishments using the developed standards, and taking action to reward, counsel, or remove employees, as appropriate).
- (f) Dealing effectively with employee/labor management relations matters, including resolving conflicts, attending to morale and organizational climate issues, handling administrative, labor management, and EEO issues, and taking disciplinary actions when other means have not been successful.

**(3) Program Development and Evaluation**

This core qualification involves the ability to establish program/policy goals and the structure and processes necessary to implement the organization's mission and strategic vision. Inherent in this process is ensuring that programs and policies are being implemented and adjusted as necessary, that the appropriate results are being achieved, and that a process for continually examining the quality of program activities is in place.

Key Characteristics include:

- (a) Assessing policy, program, and project feasibility.
- (b) Formulating short- and long-term goals and objectives and integrating them into a strategic plan.
- (c) Structuring and organizing work and setting priorities.
- (d) Anticipating and identifying, diagnosing, and consulting on potential or actual problem areas relating to program implementation and goal achievement; selecting from alternative courses of corrective action; and/or taking action from developed contingency plans.
- (e) Setting effectiveness, efficiency, productivity, evaluation and management/internal control standards.
- (f) Establishing and utilizing procedures and processes to monitor progress toward organizational objectives.
- (g) Taking any necessary corrective action to ensure an effective, efficient, and productive organizational unit.

**(4) Resources Planning and Management**

This core qualification involves the ability to acquire and administer financial, material, and information resources. It also involves the ability to accomplish the organization's mission, support program policy objectives and promote strategic vision.

Key Characteristics include:

- (a) Managing the budgetary process; including, preparing and justifying a budget and operating the budget under organizational and Congressional procedures.
- (b) Overseeing procurement and contracting procedures and processes.
- (c) Integrating and coordinating logistical operations.
- (d) Overseeing the allocation of financial resources.
- (e) Establishing and assuring the use of internal controls for financial

systems.

- (f) Ensuring the development and utilization of management information systems and other technological resources that meet the organization's needs.

**(5) Organizational Representation and Liaison**

This core qualification involves the ability to explain, advocate, and negotiate with individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizations and organizational units.

Key Characteristics include:

- (a) Representing and speaking for the organizational unit and its work (e.g., presenting, explaining, selling, defending, and negotiating) to those within and outside the agency (e.g., agency heads and other political and career executives; Office of Management and Budget; Congressional members, staffs, and committees; the media; clientele and professional groups).
- (b) Establishing and maintaining working relationships with internal organizational units (e.g., other program areas and staff support functions).
- (c) Developing and enhancing alliances with external groups (e.g., other agencies and governments, Congress, and clientele groups).
- (d) Working in groups and teams; conducting briefings and other meetings.
- (e) Seeing that reports, memoranda, and other documents reflect the position and work of the organizational unit.
- (f) Getting understanding and support from higher level management.

**Section 3: Competitive Recruitment Guidelines**

- A. Recruiting should be reasonably extensive and systematic and include a positive effort to locate qualified minorities and women. 5 USC requires that the search



for SES career candidates include all groups of qualified individuals within the civil service (5 USC 2101 defines civil service to include executive, judicial, and legislative branches). Recruitment should not be limited to persons within the agency nor to those with competitive status. Operating units are encouraged to broaden their searches to include all groups of qualified individuals whether or not within the civil service.

- B. Senior executive service vacancies to be filled by career appointments must be included in the OPM SES vacancy announcement system for at least 14 calendar days, including the date of publication. The announcements shall include position title, job location, brief description of duties, information about grade and pay (for SES positions pay should be stated in general terms rather than a particular pay level), essential (but brief) qualifications requirements and evaluation method, equal employment opportunity statement, how to apply and to request additional information, and opening and closing dates. The announcement must remain open for a minimum of fourteen calendar days.
- C. The Operating Unit's human resources management office will provide OHRM with the announcement number and the opening and closing dates and enter their announcements into the Federal Job Opportunities Board.
- D. When seeking applications from persons outside the Federal service, internally developed mailing lists, paid advertisement, trade magazines or journals, colleges, universities, etc., may be used to increase the circulation of the vacancy announcement.
- E. The above guidelines also apply to filling supergrade and Administratively Determined positions by career appointments. Such procedures may also be used when filling positions authorized under 5 USC 3104 but are not required when the appointment is based upon rare or unique qualifications of the proposed appointee.

#### **Section 4: Selection Procedures Guidelines**

- A. Specific procedures to fill executive vacancies competitively must be available and open to review by anyone requesting this information. Veteran preference may not be used as a factor in selection for SES positions.
- B. The procedures should provide for adequate differentiation among candidates on the basis of the skills, knowledges, abilities and other factors (SKAF's) as reflected in the Qualifications Standard for the position. Such SKAF's must be measurable and the source of information regarding the applicant's possession of such SKAF's must be determined (application papers, references, personal interviews, assessment centers, etc.) and documented.
- C. A Human Resources Specialist conducts a preliminary assessment of each candidate and screens out those who do not meet the mandatory Executive Core Qualifications and the mandatory technical qualifications.
- D. Candidates should be grouped into at least three categories (e.g., Qualified, Well Qualified, Highly Qualified). Use of numerical rating and ranking is discouraged.
- E. The OERB provides the interviewing official with a list of all highly qualified applicants. The OERB's summary rating sheets and information on ineligibles must be retained as part of the merit staffing action but need not be provided to the interviewing official.
- F. Upon tentative selection, the interviewing official shall forward the list to the Appointing Authority for selection. Selection must be made from the best qualified group.
- G. The Appointing Authority must certify in writing that each candidate proposed for either a career or noncareer appointment to a senior executive position meets the Qualifications Standard for that position. The appointing authority or the OERB must certify that appropriate merit staffing procedures were followed for proposed career appointments.
- H. The executive/managerial qualifications of a proposed career SES appointee must be approved by an OPM Qualifications Review Board (QRB) before the operating unit may appoint the individual (5 USC 3393). Operating units are cautioned NOT to make any offer of employment, or what could appear to be an offer of employment, to the proposed appointee, until the QRB approval has been obtained.

Operating units must send to the Director, Office of Human Resources Management the following documentation when requesting OPM approval of initial SES career appointee's managerial qualifications:

- (1) OPM Form 1390
- (2) Qualifications Standard
- (3) Certification statement that the proposed appointee meets the Qualifications Standard
- (4) Qualification Analysis
- (5) SF-171/Resume and OF-612
- (6) Letter of Reference (mandatory for Criterion C cases)
- (7) Biographical Sketch
- (8) One hard copy of full-text vacancy announcement with control number

I. Operating units must keep records for two years after a competitive vacancy is filled (or until an OPM inspection, whichever occurs first) to allow reconstruction of each competitive action. The records must include:

- (1) Documentation of the job analysis process sufficient to allow a reviewer to clearly follow the thought process and decisions made during the development of the Qualifications Standard and the applicant evaluation plan.
- (2) Copy of the vacancy announcement and the Qualifications Standard.
- (3) List of organizations and addresses where the vacancy announcement was distributed, and distribution rationale, e.g., a recruitment plan.
- (4) Selection procedures applied including the rating schedule or candidate evaluation plan.
- (5) Written recommendations made by the OERB to the Appointing Authority on each qualified candidate for an SES position (including a copy of the SF-171/resume and OF-612 upon which the recommendation is based).

- (6) Any complaints or appeals to the OERB or appointing official and the findings related thereto.

**Section 5: Executive Pay Rate Analysis**

Operating Unit: \_\_\_\_\_

Proposed Appointee: \_\_\_\_\_

Position Title: \_\_\_\_\_

Proposed Rate/Grade: ES-\_\_\_\_\_ AD-\_\_\_\_\_ ST-\_\_\_\_\_ SL-\_\_\_\_\_

Appointee's Current Salary: \_\_\_\_\_

Actual Dollar Increase: \_\_\_\_\_

Percentage of Pay Increase: \_\_\_\_\_

Pay Setting Analysis:

\_\_\_\_\_  
Signature/Title  
Operating Unit Appointing Authority

## Section 6: Executive Documentation Checklist

Forms Required (Originals Required)	Establish New Position	Initial Career Appt	LT LE NC Appt	Reassignment		Directed Reassignment	Redescrib e	Recruit	Transfer In		Retire Transfer Out Abolish
				Est'd Pos	New Pos				Est'd Pos	New Pos	
Form 1390	X	X	X	X	X	X	X	X*	X	X	X
Position Description & Evaluation Statement	X	X	X		X	X	X	X		X	
Qualification Standard	X	X	X	X	X	X	X	X	X	X	
SF-171/Resume and OF-612		X	X	X	X	X			X	X	
Certification Statement		X	X	X	X	X			X	X	
Qualification Analysis		X									
Reference Letter		X**									
15/60 Day Advance Notification				X	X	X					
Biography		X	X	X	X	X			X	X	
Pay Rate Analysis		X	X***								
Rating/Ranking Plan								X			
Original Copies	1 2	1 4	1 2	1 2	1 2	1 2	1 2	1 1	1 2	1 2	1 0

\*Only if new position being established.

\*\* If submitting a case under Criterion C.

\*\*\*Not required for noncareer.

**Section 7: Instruction for Completing OPM Form 1390**  
**(Executive Personnel Transaction)**

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General Instructions

Use this form for all actions involving positions or individuals in the following pay plans and grades. (The codes for the pay plans are shown in parenthesis.)

Executive Schedule I through V (EX)  
Senior Executive Service (ES)  
Scientific and professional, under 5 USC 3104 (ST)  
Other pay plans for positions at these levels as appropriate

Use the form both to request approval from OPM where required (e.g., QRB cases) and to provide information on actions taken under agency authority. If the form is a correction, write "CORRECTION" at the top.

A single form normally should be used to show changes in only one position and/or incumbent. If a position is canceled, and the incumbent is moved to a newly established executive position, however, both transactions can be shown on the same form.

Submit the form within 5 workdays of the effective date of the action.

Submit two copies of the form, except that for QRB cases submit three copies.

Send the form to:

Assistant Director for Executive Policy Services  
Room 6484  
Office of Personnel Management  
1900 E Street, NW  
Washington, D.C. 20415

How To Fill Out The Form

I. Type of Transaction

If an action is submitted for information in items A or B, give effective date of action. If an action is submitted for OPM approval, leave effective date blank, but put proposed effective date under Agency Remarks in Section VII when known.

A. Actions Involving Position

This section should be filled out in terms of executive positions only. For instance, if a former GS-15 position is upgraded to an SES position, the action should be reported as “Establish new position.” Use the following codes for specific actions identified:

- 01 Establish new position. Use when establishing a position never previously reported. For a newly established Executive Schedule position, give legal authority (e.g., public law number and date) in Agency Remarks in Section VII.
- 02 Reestablish old position. Use when reestablishing a position that was previously canceled.
- 03 Change grade of established position. Use for EX, GS, or OT position only.
- 04 Redescribe established position. Use to change title or organizational location of a position, without a change in pay plan or grade.
- 05 Cancel position (permanent). Use when you do not expect to reestablish the position as an executive position. Fill out information about canceled position under Section II-A, “Former Position.” If an Executive Schedule position is canceled, give legal authority in Agency Remarks in Section VII.
- 06 Cancel position (temporary). Use when you expect to reestablish the position in the future. Fill out information about canceled position under Section II-A, “Former Position.” A temporarily canceled position does not count against an agency’s position allocation, but it will continue to print on Report 30 for information purposes.
- 07 New non-SES excepted appointing authority. Use if Schedule A, B, or C or Noncareer Executive Assignment authority is being requested from OPM or being established under delegated authority.
- 08 Authorization for SES limited appointing authority. Use to request authority. Attach justification.
- 09 Change SES career reserved position to general. Use to request approval. Attach justification.



- 10 Change SES general position to career reserved. Use to request approval. Attach justification.
- 11 Other (specify). Use for reporting position changes not otherwise covered.

B. Actions Involving Individual

- 01 Individual appointed to position (no qualifications approval needed). Use any time an individual is appointed to an executive position (whether by appointment from outside the Government, reassignment, promotion, demotion, or transfer) where OPM approval is not required or where the appointment was effected after OPM approval of the action. If the action is a temporary promotion, show the length of the promotion in Agency Remarks in Section VII. In effective date, give date employee entered or will enter on duty in this position.

- 02 Individual proposed for position. Use when prior OPM or QRB approval is required of the individual's qualifications for appointment, including executive qualifications of candidates for SES position. A qualification evaluation statement should be attached. When requesting approval of SES executive qualifications, indicate in Agency Remarks in Section VII if the basis for consideration is:

A - demonstrated executive experience,

B - successful participation in an approved candidate development program, or

C - special or unique qualities.

After receiving OPM approval, a new Form 1390 should be submitted for information showing effective date of the appointment (transaction IB-01). If for some reason an individual is not appointed to a position for which approved, OPM should be notified.

- 03 Individual leaving covered position. Use when the individual is leaving an executive position, but not going into another one (e.g., leaving Government or going to a GS-15 position). If the individual is going to a non-executive position, Section II-A should show the former executive position and Section II-B the new position.
- 04 Salary rate above minimum. Use for appointments to GS position only.

- Show above minimum rate in Agency Remarks in Section VII. If OPM approval is needed, attach justification.
- 05 Conversion under Section 413, CSRA. Use for a conversion after July 13, 1979, but under the conversion provisions of Section 413 of Public Law 95-454, the Civil Service Reform Act of 1978, or other public law.
  - 06 Change in ST salary or SES pay rate. Use for any change in ST salary or SES pay rate.
  - 07 Time-in-grade exception. Use for promotions to GS positions only. If OPM approval is needed, attach justification.
  - 08 Nomination to SES Meritorious Executive Rank. Attach justification
  - 09 Nomination to SES Distinguished Executive Rank. Attach justification.
  - 10 Detail or long-term training. Use for details within the Executive Branch or long-term training if the detail or training is for 120 days or more. Check “Begin” if the form is being submitted to show scheduled detail or detail in progress and enter actual starting date in Effective date.” Check “End” if form is being submitted to show termination of detail previously reported, and enter termination date in “Effective date.” Enter the regular assignment under Section II-A and the detail under Section II-B.
  - 11 SES sabbatical. Check whether sabbatical is beginning or ending. Show the length of the sabbatical, and nature of activity if known, in Agency Remarks in Section VII.
  - 12 Temporary assignment outside Executive Branch. This code includes intergovernmental personnel assignments and assignments to international organizations when the executive will remain on the agency’s rolls. (If the executive is separated from the agency’s rolls while on the assignment, use B-03 even if the executive have reemployment rights to the agency.) Check whether the assignment is beginning or ending. Describe the nature of the assignment, including anticipated length, in Agency Remarks in Section VII.
  - 13 Other (specify). Use for reporting executive changes not otherwise covered, e.g., a change in name.
  - 14 Enter this code and “Individual being developed for SES” for individual

starting SES Candidate Development Program. (See section A under Special Instructions below for further information.)

## II. Position Information

A. Former position. This covers only an individual's former position or information on a position being canceled. Complete only if an action involving an individual has been checked under IB and the individual's former position is in the Federal service or if IA-05 or 06 has been entered. If the individual is coming from outside the Federal service, leave blank. When filling out, follow instructions under B, immediately below.

B. Current or proposed position. Complete in all cases as follows:

- o Position title - Enter official title.
- o Position number - Enter the number assigned to the position in accordance with the instructions below:
  - The first two spaces show the agency code.
  - The third and fourth spaces show the pay plan as abbreviated in the introduction to these instructions. Administrative Law Judges, though in the General Schedule, are treated as a separate pay plan ("AJ") under the position numbering system. The "Other pay plans" all have a position number symbol of "OT."
  - The last four spaces show the number of the position within the pay plan.

Keep the same number for the same position as long as it exists. Do not reuse the number of a permanently or temporarily canceled position for another position. If a canceled position is reestablished, the old position number should be used.

If an agency wants to use its position numbering system to keep track of its allocations, it is possible to use one of the digits in the position number to show that a canceled number is being reused. (For example, if XXES0020 is permanently canceled, the agency could use XXES1020 for a new position using that space. When that position is canceled, the next position would be number XXES2020.)

- o Pay plan - Enter EX for Executive Schedule, ES for Senior Executive Service, GS for General Schedule (including ALJs), ST for ungraded scientific or professional positions engaged in research and development.
- o Grade - If position is EX, enter 01 through 05. If position is in another graded pay plan, fill in appropriately. If position is ES or ST, leave blank.
- o Occupational series - Enter most appropriate occupational series, except leave blank for EX positions.
- o Appointment authority - Enter appropriate code from list below for positions in EX, GS, ST, and OT pay plans. Leave blank for SES positions, since the type of appointment for these positions can vary with the incumbent.
 

Presidential with Senate approval	PS
Presidential without Senate approval	PA
Career Executive Assignment	CE
Limited Executive Assignment	LE
Noncareer Executive Assignment	NC
Schedule A	SA
Schedule B	SB
Schedule C	SC
Excepted by statute	XS
Competitive	CO

(use for competitive EX or ST position)

Career or Career Conditional

(use for competitive GS-15 and below position)
- o Manager, supervisor, all others - Use the definitions in the Supervisory Grade Evaluation Guide.
- o Geographic location - Enter nine digit code from GSA publication, "Worldwide Geographic Location Codes."
- o Organization code - Enter code in "For OPM use only." Do not use the first, shaded space, or the last space.

### III. Information about the Individual

- A. Name, Social Security Number, Sex.

- B. Current or proposed pay rate, grade, or salary. For individuals who did not convert to SES, the actual (“status quo”) pay plan and grade or salary should be shown.
- C. Previous pay rate, grade, or salary. Complete if there is any change in pay plans or if the individual’s pay rate, grade, or salary changes within a pay plan.

IV. Staffing Information

- A. Where recruited from. If an individual is changing agencies, only the gaining agency should complete this item.
- B. Reason left Federal service. Complete only if the individual left the Federal service. Do not complete if the individual went to another agency or to the legislative or judicial branch.  
  
Code 3 - Retirement: Discontinued Service (RIF, reorganization, transfer of function) - Also use this code when retirement based on position abolishment, early retirement authorized by OPM, or declination of a geographic reassignment.
- C. Where plans to work. Complete if the individual left Federal service as a result of a voluntary action (e.g., resignation or retirement).

V. Information about SES Members Only

- A. Type of appointment. Enter appointment code.
- B. Five-years current continuous service in the civil service. Complete only for individuals receiving their initial appointment to the SES, no matter what the appointment authority. Disregard breaks in service of 3 days or less.
- C. Leaves SES for another Federal position. Complete whether the other position is an executive position (e.g., Executive Schedule) or a non-executive position (e.g., GS-15)
- D. Conversion to Presidential appointment with Senate confirmation. Complete only for a career SES appointee.

VI. Documents Submitted - See instructions for IA and IB to see what documents have to be submitted with what actions.

- VII. Agency Remarks - Use the Remarks section to provide any needed explanations, including any waivers to normal regulations, such as those regarding employment of retired military officers. Cite appropriate section of the form to which the remarks refer.

If the individual is being submitted for QRB approval, cite the number and date of the OPM vacancy list on which the position was announced.

If the individual is receiving his or her initial executive appointment, provide the following information:

Date of Birth: YYMMDD (Year, Month, Day)

Service Computation Date: YYMMDD (Year, Month, Day)

Address: Home or office as preferred by the executive (indicate which)

Do not report the Race/National Origin code on the Form 1390. It should be reported separately.

Each form must be signed by the authorized submitting official.

- VIII. OPM Actions and Remarks - This section shows the official OPM (or QRB) action on any agency request for approval of an action.

#### Special Instructions

- A. Individuals entering SES candidate development programs. The OPM Form 1390 should be filled out as indicated below.

I Type of Transaction - In Section B:

- ☐ Enter below B13: "B14 - Individual Being Developed for SES"
- ☐ This is an "N" transaction.
- ☐ The effective date is the date the individual entered the candidate development program.

II Position Information

- ☐ Give current Position Title, Pay Plan, Grade, Occupational Series, Appointing Authority, Managerial Code, Agency, Bureau, Division, and Geographical Code.

III Information about the Individual

- o Give Name, Social Security Number, Sex, and Grade or Salary

VI Agency Remarks -- Enter the following items:

- o Date of Birth: YYMMDD (year, month, day)
- o Service Computation Date: YYMMDD
- o Development Program: XXXXXX (e.g., DYRS87)

Position 1-2    Agency Key (e.g., DY = Department of Treasury)  
Position 3-4    Alphabetic code if program operates at the Bureau level  
                    (e.g., RS = IRS in Department of Treasury). Put 00 if  
                    program does not operate at the Bureau level.  
Position 5-6    Fiscal year individual started the program

B. Reemployed annuitants

If an individual retires and is reemployed in other than an executive position (e.g., GS-15), show the action on the Form 1390 as a B-03 only; and enter the type of retirement in Section IV-B.

If an individual retires and is immediately reemployed in an executive position, show the action on the Form 1390 as both a B-03 (for the retirement) and B1-01 (for the new appointment). Section II-A should show the position from which retired and Section II-B the position to which appointed, even if it is the same position. Enter the type of retirement in Section IV-B and “Reemployed Annuitant” in Agency Remarks in Section VII.

If an individual retires and is reemployed at a later date in the SES, show the reemployment action as a B-01 and enter “Reemployed Annuitant” in Agency Remarks in Section VII.

When a reemployed annuitant leaves the Government, show as a B-03 and enter the reason left in Section IV-B as either “Resignation” or “Other” (if terminated).

C. Administrative Law Judges

Before establishing a new ALJ position or appointing an individual to an ALJ position, an agency must submit a Standard Form 59 to the Office of Administrative Law Judges at OPM for approval.

Under guidelines issued by the Office of Administrative Law Judges, all vacant ALJ positions are to be reported to the Office of Executive Personnel as canceled rather than permanently canceled, if the agency has an active request pending with the Office of Administrative Law Judges for filling the position.

D. Executive Exchange Program participants

Normally, Executive Exchange Program participants who are placed in positions at the SES level receive SES limited term appointments; and the Form 1390 is processed like any other SES appointment. In Agency Remarks in Section VII, enter “Executive Exchange Program.” In OPM Action and Remarks in Section VII, enter “C” in first INC block. The limited authority must be approved by OPM before the appointment is effected.

There is an experimental program that allows a certain number of participants to volunteer their services to the Government. If the service is voluntary, and the position to which the individual is appointed is equivalent to SES, on the Form 1390 show “OT” in the Position Number, “ZZ” in the Pay Plan, and “SA” in the Appointing Authority. In Agency Remarks in Section VII, enter “Voluntary service in the Executive Exchange Program under P.L. 99-424.

E. Terminal Sick Leave

If an executive is on terminal sick leave, an agency may submit a Form 1390 with a B-03 action showing the individual leaving the position. Enter in Agency Remarks in Section VII that the executive is on terminal leave and the date the leave is scheduled to end. The agency may cancel the position or refill it while the individual is still on leave, so that the individual will not be charged against one of the agency’s allocated position spaces.

F. Major reorganization

If an agency has undertaken a major reorganization (e.g., one involving the reassignment of a significant number of executives or the abolition, creation, or realignment of a number of components), the agency should contact the Office of Executive Personnel before preparing Form 1390s. It is often possible to work out arrangements which will reduce the amount of paperwork for the agency and facilitate entry of changes by OPM.

**SUBMISSION OF RACE/NATIONAL ORIGIN DATA FOR EXECUTIVES**

Agency	_____
Name (last, first)	_____
SSN	_____



Circle appropriate code. These are the same codes as used in the Central Personnel Data File.

- A American Indian or Alaskan Native
- B Asian or Pacific Islander
- C Black not of Hispanic Origin
- D Hispanic
- E White not of Hispanic Origin

It is important that the RNO information be kept separate from all data used in qualifications considerations and that the appropriate privacy protections be observed. Therefore, please do not send the information with the OPM Form 1390, but in a separate envelope addressed as follows:

To Be Opened Only By  
Assistant Director, Office of Executive Resources  
Room 6484  
Office of Personnel Management  
Washington, D.C. 20415

## **Section 8: Senior Executive Service** **Candidate Development Program**

### **I. INTRODUCTION**

#### **A. Purpose**

- (1) To develop a pool of highly qualified, screened, trained, experienced candidates for consideration for executive positions.
- (2) To pre-certify with the Office of Personnel Management (OPM) the executive qualifications of candidates who successfully complete the Candidate Development Program (CDP), in order that candidates selected for SES positions may be appointed to the SES without further merit competition.

NOTE: Operating units may add additional purpose statements in their implementing plans.

#### **B. Principles**

- (1) The CDP is a significant source of candidates for SES vacancies. It incorporates high selection and developmental standards.
- (2) The length of individual developmental time is flexible and a function of the individual candidate's experience, management skills, and progress in the CDP.

NOTE: Operating units' implementing plans must include a statement in this section declaring whether candidates participate in the CDP on a full time or part time basis, and a statement declaring the effects of noncompletion of the program.

#### **C. Program Offerings**

SES vacancies are projected biennially. The Operating Unit Executive Resources Board (OERB) determines the frequency and timing of program offerings based on the most recent vacancy projections and the number of candidates in the CDP pool.

## **D. Responsibilities**

- (1) The OERB makes policy, guides and oversees the CDP, determines the frequency and timing of program offerings, makes final selections--or recommendations for final selections--of program participants, approves Individual Development Plans (IDPs), monitors candidate progress, determines when a candidate has completed the program, and evaluates the efficacy of the CDP.
- (2) The Principal Human Resources Manager, or his/her designee, advises the OERB on technical and regulatory matters, secures necessary clearances, advertises the CDP, receives and screens applications, plans and conducts the SES Candidate Orientation Program, schedules other formal and informal training activities for candidates, provides advice to candidates and mentors on training and developmental options, and carries out such other administrative aspects of the CDP as may be required.
- (3) Mentors, who are currently members of the SES, guide and counsel candidates, facilitate rotational assignment, and monitor the candidates' progress and development.

## **II. FUNDING AND STAFFING**

- (1) Operating units must provide sufficient funds to support the CDP. Such funding includes all expenses for formal training, other developmental activities, conferences, travel for candidates, mentors, and staff supporting the program, and candidate salaries (if the CDP is a full time program). Funds for these activities must be separately identified and administered as a distinct activity.
- (2) Operating units must allocate sufficient staff to support the CDP.

NOTE: Operating units implementing plans must specify where in the operating unit budget the CDP funding is located.

## **III. RECRUITMENT AND SELECTION.**

### **A. Recruitment**

- (1) Applicants must be current Federal employees with career status serving in positions at the GS-14 or 15 level or equivalent, or current

Federal employees with career status who have repromotion eligibility to the GS-14 or 15 level or equivalent.

NOTE: Operating units may restrict eligibility to the GS-15 level or equivalent, and/or expand eligibility to include non-Federal employees. These variation, if they are chosen, must be declared in the implementing plan.

- (2) The CDP announcement must be entered into the OPM Federal Job Opportunities Board through the Department of Commerce distribution system as the primary distribution sources. Operating units must specify any additional recruitment sources.

**B. Selection**

- (1) The Principal Human Resources Management Office develops the CDP qualification standard, and submits it through the OERB to the Director for Human Resources Management for approval.
- (2) The CDP qualification standard must include the following items:
  - (a) Demonstrated effectiveness in oral and written communication;
  - (b) Demonstrated effectiveness in problem solving;
  - (c) Demonstrated effectiveness in the exercise of interpersonal skills;
  - (d) Demonstrated ability to be self-directed;
  - (e) Demonstrated ability to be flexible; and
  - (f) Evidence of leadership

NOTE: Operating units may add items to the CDP qualification standard.

- (3) The CDP qualification standard must include a rating plan that describes how the rating factors will be evaluated and the rating/ranking scheme that the Operating Unit uses.

- (4) The Principal Human Resources Management Office performs the preliminary qualifications review, and a panel, established by the OERB and comprised of current SES members, rates, ranks, and identifies Best Qualified applicants. Panels established under this section should include representation of minorities and women.

NOTE: Operating units may be more specific as to the composition of these panels. Any additional requirements must be declared in the implementing plan.

- (5) The OERB must interview each applicant ranked Best Qualified.

NOTE: The OERB may either make final selections of CDP participants, or recommend final selections to the head of the operating unit. Operating units must declare, in their implementing plan, which of these methods will be used.

- (6) Within 30 days of selection, The Principal Human Resources Manager shall inform the Director for Human Resources Management of each candidate's name and work telephone number.

#### **IV. CANDIDATE DEVELOPMENT**

##### **A. Overview**

- (1) Candidate development is centered on acquiring and developing the following executive competencies:
  - (a) Strategic vision;
  - (b) Human resources management;
  - (c) Program development and evaluation;
  - (d) Resources planning and management; and
  - (e) Organizational representation and liaison.

Section 2 of the Appendix provides complete information on the content of these competencies.

- (2) Candidates vary widely with respect to their developmental needs.

Therefore, a specialized training and development program must be developed for each candidate. This specialized program will be recorded in an Individual Development Plan (IDP) for each candidate.

- (3) Since the developmental needs of the candidates vary, so does the length of time it takes them to complete the program. All candidates must, however, either complete the program or be removed from it after 18 months. Discontinuance or withdrawal from the program does not prejudice a candidate's ability to compete for SES positions.

NOTE: Operating units may shorten the time candidates are allowed to remain in the program to not less than 12 months. If a shorter maximum time is selected, it must be declared in the Operating Unit's implementing plan.

## **B. Mentors**

Each CDP candidate must be assigned a mentor within 15 days of selection. Mentors must be current members of the SES, who are willing and able to provide guidance and counseling to candidates over the course of the program.

## **C. Orientation and Assessment**

- (1) Within 30 days of selection of candidates, the Principal Human Resources Management Office shall conduct a CDP Orientation. Attendance by candidates and their mentors is mandatory.
- (2) The orientation must contain the following elements:
  - (a) An explanation of the CDP program goals and expectations;
  - (b) An overview of the development process;
  - (c) A formal assessment of each candidate's developmental needs;
  - (d) An opportunity to draft Individual Development Plans;
  - (e) Identification and discussion of training options and resources; and
  - (f) A discussion of the role and responsibilities of mentors.

NOTE: Operating unit orientation programs may add elements to this core list. Additional areas of coverage must be declared in the implementing plan.

**D. Individual Development Plans**

The IDP is a key element of the Candidate Development Program. Each IDP is individually tailored to include formal training and developmental experiences which would be beneficial based on the candidate's background and the results of the developmental needs assessment. Candidates must complete an IDP and submit it to the Principal Human Resources Manager no later than 15 days following completion of the orientation program. IDPs must be approved by the OERB.

**E. Formal Training Programs**

- (1) A formal training program must provide an opportunity for the candidate to interact with individuals from other agencies, State and local governments, and private sector organizations. This training may be accomplished through 80 hours of formal interagency training or an interagency work experience substantially longer than 80 hours in duration.
- (2) The Federal Executive Institute's "Leadership for a Democratic Society" program is the preferred source of training for candidates. The Director for Human Resources Management will nominate each candidate to attend this program. Candidate flexibility in scheduling their attendance at this highly competitive program is a must.
- (3) The OPM Executive Development Seminar and approved programs offered by other institutions may be substituted for the FEI program with the approval of the OERB.
- (4) The Department of Commerce Executive Forum, or a substitute program approved by the Director for Human Resources Management, is a required element in the formal training of all candidates.
- (5) Candidates may also take advantage of other executive development opportunities which address theories, issues, and skill areas directly related to the candidate's training needs as reflected in the IDP.

NOTE: Operating units may specify additional formal training as mandatory, particularly if such training is directly related to the Operating unit's mission and programs. Any additional required training must be declared in the implementing

plan.

**F. Developmental Assignments**

- (1) Each candidate must complete developmental assignments that total at least four months of full time service outside the position of record.
  - (a) Understudy or “shadow” position, either within the operating unit or elsewhere in Commerce;
  - (b) Special projects or assignments designed to develop one or more of the executive competencies identified in Section IV.A.11;
  - (c) Appointment to DOC task forces or committees; and
- (2) Each candidate must complete at least one rotational assignment that is designed to broaden the candidate’s managerial experience. Examples of rotational assignments are:
  - (a) a candidate from the field to headquarters, or vice versa;
  - (b) a candidate from a line position to a staff or functional assignment, or vice versa;
  - (c) a similar position in a different organization; or
  - (d) an assignment to another agency or another branch of government.
- (3) Candidates must be evaluated in writing by the rotational assignment supervisor within 14 days of the conclusion of the assignment. The evaluation must cover the tasks performed, the managerial competencies enhanced, training received, and the effectiveness of the candidate’s performance in the position. Copies of the evaluation must be provided to the mentor and the OERB.



## **V. PROGRAM COMPLETION**

### **A. Criteria for Program Completion**

- (1) Successful completion of the CDP requires the completion of all training and developmental objectives specified in the IDP, and the concurrence of the OERB.
- (2) Upon the favorable recommendation of the OERB, the Head of the operating unit requests, through the Department of Commerce, OPM Qualifications Review Board (QRB) certification.

NOTE: Operating units must declare in their plans the documentation required for OERB review. Operating units may also require candidates to have an oral interview with the OERB before the Board makes its recommendation. Any requirement for an interview must be declared in the implementing plan.

### **B. OPM Certification**

- (1) Upon QRB certification, an OPM certificate will be presented to each candidate. The certificate is valid for appointment to the SES without further competition for the time period prescribed in OPM regulations.

## **VI PLACEMENT AND FOLLOW-UP**

### **A. Placement in an SES Position**

- (1) Successful candidates are not guaranteed appointment to an SES position. CDP graduates are, however, a significant source of applicants for career SES vacancies within Departmental operating units.
- (2) Graduates who apply for Departmental SES vacancies must be identified as CDP graduates on the list of eligibles sent to the selecting official, and the list of eligibles will include a notation that CDP graduates have been pre-certified by OPM.

NOTE: Operating units may provide additional assistance to CDP graduates. The nature of this assistance must be declared in the implementing plan.

**B. Other Assignments for Certified Candidates**

Operating units should make the best use of the skills of certified SES candidates, even at the non-SES level. Certified candidates may be considered for appropriate GS-15 vacancies, and for high level interagency or intra-agency task forces.

**C. Follow-Up**

Mentors are encouraged to assist former CDP participants who have been appointed to SES positions by providing consultative advice and support.

**D. Mobility Requirements**

Certified candidates may be offered an initial SES appointment in an organization other than the one to which they are assigned, or in a different geographical location. No candidate may be required to accept a particular SES position, but candidates should understand that mobility is one of the basic conditions of employment in the SES.

## **Section 9: Presidential Rank Awards**

### **A. PURPOSE**

To recognize prolonged, high quality accomplishment, the Civil Service Reform Act of 1978 (CSRA) authorizes the President to approve the awarding of ranks and accompanying monetary awards to a select number of SES career executives. Two types of awards are available:

- (1) Meritorious Executive - for sustained accomplishment, which includes a lump sum payment of 20 percent of base pay.
- (2) Distinguished Executive - for sustained extraordinary accomplishment, which provides a lump sum payment of 35 percent of base pay.

### **B. AWARD RESTRICTIONS**

Presidential Rank Awards shall not be granted during a Presidential election period to employees who are:

- (1) In an SES position and not a career appointee;
- (2) Appointed by the President with Senate confirmation who serve in:
  - (a) An Executive Schedule position, or
  - (b) A position for which pay is set in statute by reference to a section or level of the Executive Schedule.

### **C. ELIGIBILITY**

- (1) SES career appointees, with at least three years of SES or equivalent experience, are eligible for consideration for Rank Awards. Performance for which a nomination is submitted must show sustained accomplishments by a senior executive or equivalent position (such as Senior Foreign Service) over a minimum period of at least three years, preferably longer.
- (2) An individual who receives a rank of either Meritorious or Distinguished Executive is not eligible for that same award during the following four fiscal years.

- (3) A bonus recipient may not be nominated for or receive a Distinguished Rank Award in the same calendar year.
- (4) The combination of a Meritorious Rank Award and Bonus cannot exceed 35% of an appointee's base pay in the same calendar year.
- (5) Nominees must have had a performance rating of at least Commendable for the preceding three years, preferably with the most recent rating being Outstanding.
- (6) To provide for progression in the awarding of ranks, a nominee for Distinguished Executive would normally have received the rank of Meritorious Executive in a previous year. It may be appropriate to confer the rank of Distinguished Executive without regard to progression when only the highest rank would serve as fitting recognition.

**D. OPM CRITERIA FOR RANK NOMINATIONS**

A nominee must have demonstrated (a) sustained accomplishment for Meritorious Executive, or (b) sustained extraordinary accomplishment for Distinguished Executive. Criteria upon which nominees will be evaluated may include, but need not be limited to the following. For each criterion offered, specific examples must be cited:

- (1) Career achievements that are recognized throughout the agency or are acknowledged on a national or international level;
- (2) Specific achievement of significant cost reduction or cost avoidance enabling the agency to reallocate resources to high priority activities;
- (3) Successful use of human resources exhibited through high workforce productivity and/or effective development and recognition of subordinates;
- (4) Demonstration of personal initiative and innovation;
- (5) Substantial improvements in quality of work, efficiency and/or timeliness of service;
- (6) Unusual levels of cooperative effort with other Federal agencies, governmental jurisdictions, and/or the private sector;
- (7) Especially successful efforts in affirmative action;

- (8) Major career related awards and honors received.

In addition to the above criteria, it must be clear that the nominee has demonstrated qualities of strength, leadership, integrity, industry and personal conduct of a level that has established and maintained a high degree of public confidence and trust. 5 USC 4313 also contains general guidelines which may be helpful in structuring an award nomination.

#### **E. NOMINATION PROCEDURES**

- (1) The Department will announce the Rank Award program to Appointing Authorities who will then request nominations from within their organizations.
- (2) Operating unit PRBs will review nominations and submit them to the appropriate Appointing Authority, with written recommendations on the approval or disapproval, and stating the reasons for its recommendations. A PRB member who has been nominated for a Rank Award may not participate in any Rank Award deliberations.
- (3) The Appointing Authority shall, after considering the PRBs recommendations, submit nominations to the Department, in accordance with the timetable and procedures established annually. Nominations for each rank shall be submitted in priority order.
- (4) In any fiscal year, governmentwide, the number of Meritorious Executive awards may not exceed 5%, and Distinguished Executive awards may not exceed 1% of the total number of SES positions authorized. No operating unit of the Department of Commerce may submit nominations for more than 8% (rounded to the nearest whole number) plus one of its total authorized SES positions for both ranks. The following chart illustrates this concept:

<u>No. of SES Positions</u>	<u>8% Limit</u>	<u>Plus 1</u>	<u>TOTAL</u>
27	2	1	3
11	1	1	2
4	0	1	1

Nominations for the two ranks should be roughly proportional to the 5% to 1% ratio.

#### **F. SUBMISSION REQUIREMENTS**

Nominations shall be signed by the head of the operating unit and the appropriate Secretarial Officer prior to submission to the Executive Secretary of the Departmental Executive Resources Board (Director for Human Resources Management). The documentation required with each case must include the following as a minimum:

- (1) OPM Form 1390, Executive Personnel Transaction.
- (2) A nomination justification statement not to exceed approximately three pages in length which addresses the selection criteria in a concise, specific manner.
- (3) A concise summary, by date, agency, position, and grade, of the nominee's Federal employment history. Narrative descriptions of duties and responsibilities are not necessary. Included also are the nominee's home mailing address and an exact spelling of his/her full name as it would appear on an award certificate.
- (4) The appropriation code number from which the Rank Award Stipend would be paid.

**F. REVIEW PROCEDURES**

- (1) The Executive Secretary of the Departmental ERB reviews nominations to assure compliance with regulatory and Departmental requirements. Nominations which do not comply will be returned to the submitting Appointing Authority.
- (2) The Departmental ERB screens nominations for Rank Awards and recommends nominees to the Secretary. The ERB may establish an ad hoc group or panel to assist in the initial screening process.
- (3) After review, the ERB submits to the Secretary, documentation on those nominees recommended by the Board and a priority order listing of the nominees. A list of those individuals not recommended by the ERB will also be forwarded to the Secretary.
- (4) The Secretary forwards the selection of the Department's final nominees to the Office of Personnel Management for further consideration and potential selection by the President.

**G. AWARD PAYMENTS**

- (1) If a Meritorious Rank Award amount causes the recipient's aggregate compensation (base salary plus bonuses plus Rank Award) for the calendar year to exceed Level I of the Executive Schedule, then the amount in excess of Executive Level I will be paid at the beginning of the next calendar year.
- (2) The amount paid in excess in the next calendar year, when added to the recipient's base salary, bonuses and Rank Awards, may not exceed the payable rate of Executive Level I.
- (3) OPM regulations will determine the method for distributing Rank Award carry-over amounts to deceased recipients.

## **Section 10: SES Performance Awards (Bonuses)**

### **A. PURPOSE**

SES Performance Awards (Bonuses) are used to recognize career senior executives for their excellent performance during the SES performance appraisal period.

### **B. GENERAL**

- (1) To be eligible for an award, the individual must have been an SES career appointee as of the end of the performance appraisal period.
- (2) Only career senior executives with performance ratings of at least Fully Successful are eligible for SES Bonuses.
- (3) Individuals eligible for an SES bonus include:
  - (a) A former SES career appointee who elected to retain award eligibility under Chapter 5.6 of this manual. If the salary of the individual is above the ES-6 pay rate, the ES-6 rate is used for crediting the agency award pool and the amount the individual may receive under (5) below.
  - (b) A reemployed annuitant with an SES career appointment.
  - (c) An SES career appointee who is on detail.
- (4) SES Bonuses are limited to a funding distribution equal to 3% of the Department's aggregate payroll for career executives on board as of the end of the fiscal year.
- (5) Bonus amounts are computed as percentages of payable salary and range from a minimum of 5% to a maximum bonus of 20% of the appointee's rate of basic pay as of the end of the performance appraisal period. The rate of basic pay does not include locality based comparability payments or special law enforcement adjustments under the Federal Employees Pay Comparability Act of 1990.
- (6) Performance awards shall be paid in a lump sum except in those instances when it is not possible to pay the full amount because of the Executive Level I ceiling on aggregate compensation during a calendar year. In that case, any amount in excess of the ceiling shall be paid at the beginning of the following



calendar year. The full performance award, however, is charged against the agency bonus pool for the fiscal year in which the initial payment was made.

- (7) The Department will provide operating units with projected SES percentages and bonus pools.
- (8) Meritorious Rank Award winners may receive performance awards up to the amount that when combined with the Rank Award would not exceed 20% of base pay.
- (9) Superior Accomplishment Awards under 5 CFR Part 451 which are based on the senior executive's most recent appraisal are prohibited.

### **C. PROCESS AND NOMINATION REQUIREMENTS**

- (1) In October of each year the CFO/ASA will issue overall bonus pool funding and nomination limits for the Department and for each operating unit. At this time a separate bonus pool will be established for the Secretary to recognize outstanding executive performance by organizations or individuals.
- (2) Appointing Authorities must submit their bonus nominations to the Executive Secretary of the Departmental ERB annually in accordance with the annual end of year scheduling activity. Those Appointing Authorities who are part of an organizational cluster must clear bonus recommendations through the top officials of the cluster (e.g., the Under Secretary for Economic Affairs).
- (3) The operating unit submission of bonus nominations must include an original of the following information:
  - (a) On a single sheet:
    - o Name, title and organization of each bonus nominee;
    - o Brief paragraph summarizing the principal accomplishments which justify the bonus (highlighting those covered by the Departmental MBO System); and

- o Whether the bonus nominee is a member of any PRB and participated in PRB reviews that considered his/her proposed nomination;
  - (b) A copy of each performance plan and resulting rating associated with the nomination (no reference concerning bonus nomination or amount is to be made on the performance plan of any executive until formal approval of nominees is received from the Office of the Secretary); and
  - (c) A summary data sheet listing bonus nominees in priority order which includes name, social security number, appropriation code to be charged (if approved), proposed bonus amount, prior years' performance ratings, ES level, years of Departmental and Federal service and previous recognition.
- (4) The Executive Secretary of the Departmental ERB reviews all operating unit bonus submissions for compliance with regulatory and Departmental requirements. Submissions which do not comply will be returned to the appropriate Appointing Authority for necessary changes.
- (5) The Executive Secretary may be asked to develop options for distributing bonuses to each operating unit. These options are incorporated into an overall bonus submission package provided to the Departmental ERB for its deliberations in late November. During these deliberations the Departmental ERB may request personal presentations by Appointing Authorities to justify their bonus recommendations.
- (6) The Executive Secretary makes final recommendations on bonuses to the Secretary in early December. The Secretary must consider the recommendations, but has the final authority as to who is to receive an SES bonus and the amount of the bonus.
- (7) The Inspector General will be responsible for approving SES Bonuses to career senior executives in his/her organization after appropriate reviews by the Departmental Executive Secretary.

**D. SES PAY RATE LEVEL ADJUSTMENT BASED ON PERFORMANCE**

See Manual, Chapter 5, Section 5.4, Administration of Executive Pay for procedures on adjustments based on performance.

**Section 11: Superior Accomplishment Awards**

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**A. SUPERIOR ACCOMPLISHMENT AWARD GUIDANCE**

- (1) All employees in positions above grade GS-15 or equivalent, regardless of pay plan, including those positions that are filled by an appointment by the President by and with the advice and consent of the Senate, are eligible under law to receive all types of incentive awards with two exceptions:
  - (a) SES employees are not eligible for awards based on performance other than SES bonuses.
  - (b) OPM strongly recommends that Presidential appointees whose appointments require Senate confirmation receive honorary, rather than monetary awards. An exception can be made if a career SES member, who transfers into a Presidential appointment position, elects to retain SES benefits.
- (2) Requirements
  - (a) Agencies shall not grant awards under this section during a Presidential election period to employees who are in an SES position and not a career appointee.
  - (b) Agencies shall not grant cash awards under this section to employees appointed by the President with Senate confirmation who serve in
    - o An Executive Schedule position, or
    - o A position for which pay is set in statute by reference to a section or level of the Executive Schedule.
  - (b) Use of incentive cash awards as a means of circumventing either statutory language or OPM's guidance on the number and distribution of SES bonuses is prohibited.
  - (c) Either the Secretary or Deputy Secretary must approve personally all incentive award requests for SES members to ensure that the type of award is appropriate and that the individual SES member is deserving of the recognition.
  - (d) Superior Accomplishment Awards are monetary or non-monetary awards given for contributions resulting in tangible benefits or savings

or intangible benefits to the Government. The accomplishment must have been achieved through an individual or group effort in the form of a suggestion or invention or a special act or service in the public interest, connected with or related to official employment, that contributes to the efficiency, economy, or other improvements of Government operations, or achieves a significant reduction in paperwork. A special act or service is a contribution which is:

- o a non-recurring contribution either within or outside the senior executive's job responsibilities;
  - o a scientific achievement; or
  - o an act of heroism.
- (e) Contributions and accomplishments must not reflect sustained superior performance of duties and responsibilities of the employee's assigned position over a specified period of time as measured by the SES performance appraisal system.
- (f) A Superior Accomplishment Award for a Special Act or Service is to be granted at the time the contribution is made, or promptly following the contribution.

(3) Policy and Procedures

- (a) An award recommendation is not an entitlement. The decision to grant an award is a management prerogative and is not grievable.
- (b) Any such award must be reviewed by a special session of the Departmental Executive Resources Board.
- (c) In view of the severe restrictions on the use of Superior Accomplishment Awards for SES members, SES Appointing Authorities should give careful consideration to the senior executive's accomplishments and achievements before recommending this form of recognition.

- (d) All Superior Accomplishment Award recommendations should be forwarded to the Executive Secretary of the Departmental ERB after existing operating unit procedures have been used to process the award recommendation. A copy of the nominee's SES performance plan which covers the period of recognition must accompany any material submitted to the Department. Prior approval must be obtained from the Department before any award involving the payment of cash can be made to an SES member.
- (e) Identification of the various categories of incentive awards can be found in Department Administrative Order 202-451, Incentive Awards Program.
- (f) The amount of a Superior Accomplishment Award is based on tangible and/or intangible benefits realized as a result of the contributions (see DAO 202-451 for tables of award amounts).

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**Section 12: Guidelines for Performance Review Boards (PRBS) and the  
Departmental Performance Review Board (DPRB)**

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- A. These guidelines should be supplemented by specific operating unit requirements defined in individual PRB charters or the DPRB Charter. PRB's and the DPRB must review initial performance appraisals and ratings and make recommendations to Appointing Authorities for:
- o Final performance ratings;
  - o Retention, reassignment, transfer;
  - o Consideration for an SES Bonus;
  - o Consideration for a salary adjustment; or ES rate level adjustment based on performance; and
  - o Consideration for a Presidential Rank Award.

The DPRB reviews only those senior executives who report directly to Appointing Authorities.

**(1) DPRB Procedures**

- (a) Performance appraisals for DPRB review must include proposed ratings and recommendations.
- (b) DPRB panel members will indicate if they concur based on the documentation submitted, using the additional review criteria identified in Appendix, Section 13.
- (c) The DPRB panel will not initiate recommendations on its own.
- (d) In cases where no explicit recommendations are made, the DPRB will interpret the actions of the supervisor as follows:
  - o RETENTION. A recommendation for a Fully Successful rating or better, (e.g. Commendable or Outstanding) is considered as an implicit recommendation for retention by the supervisor.

- o BONUS. Lack of a recommendation or mention of a bonus by the supervisor is considered as an implicit recommendation that no bonus be awarded.
- o PAY ADJUSTMENT. Lack of a recommendation or mention of a performance-related pay adjustment by the supervisor is considered as an implicit recommendation that no pay adjustment be made.

**(2) DPRB Review Panels**

- (a) Members of the DPRB will be notified regarding the establishment of separate DPRB panels and specific meeting dates.
- (b) DPRB members will generally serve on one panel.
- (c) Each panel will consist of three DPRB members.
- (d) Each panel will complete its work within one day.
- (e) Materials for each DPRB panel will be provided to panel members before the scheduled meeting.
- (f) DPRB members will not be eligible to serve on a panel reviewing their own appraisals, or that of their supervisors or subordinates.
- (g) After completing their reviews, DPRB panels will make written recommendations for the Secretary's or Deputy Secretary's approval of each executive's performance rating.
- (h) The Secretary or Deputy Secretary will convey decisions and return the performance ratings to the respective Appointing Authorities.

**(3) PRB Procedures**

- (a) Each PRB must have a quorum of at least three members to carry out its functions.
- (b) When reviewing an appraisal of a career appointee, more than one-half of the members of the PRB must be SES career appointees.
- (c) Each PRB must have a chairperson who is a DoC employee who will

oversee the activities of the Board and assure that the PRB carries out the functions contained in its charter in accordance with OPM and Departmental requirements.

- (d) Each PRB must have its organization's personnel officer or that official's designee serve as Executive Secretary to provide personnel guidance and administrative support to the PRB.
- (e) Each PRB must make written recommendations to the Appointing Authority concerning senior executives' appraisals and ratings. When the PRB does not concur with the initial appraisal and rating given a senior executive, or the record shows employee or reviewing official disagreement with the rating official's actions, the PRB shall conduct such further review as it finds necessary.

**(4) Recommendations to Appointing Authorities (PRBs only)**

- (a) Written recommendations regarding senior executives' appraisals and ratings must be made to the Appointing Authority. When the PRB does not concur with the initial appraisal and rating or when there is a record of disagreement with the rating by the employee or the reviewing official, the PRB's recommendation must include a justification.
- (b) All bonus recommendations must comply with the requirements and deadlines established by the Department.
- (c) Only career executives are eligible to receive SES Bonuses. The PRB must make recommendations to the Appointing Authority on which senior executives should receive bonuses and on the amounts of these bonuses. Consideration for bonuses should be based only on the appraisal and rating for the current appraisal period.

**(5) Restrictions**

- (a) Although additional restrictions may be listed in PRB charters or the DPRB Charter, at a minimum, a PRB or DPRB member shall not participate in a performance appraisal review when he/she is:
  - o One of the senior executives being reviewed;



- o The rater of the senior executive whose performance is being reviewed;
  - o The direct subordinate of the senior executive whose performance is being reviewed; or
  - o The designated higher level reviewer of the senior executive whose performance is being reviewed.
- (b) In order to participate in PRB or DPRB deliberations, each Federal PRB or DPRB member must have at least a Fully Successful or higher performance rating.
- (c) Each PRB must have at least one member who is not under the jurisdiction of the Appointing Authority.

**Section 13: PRB and DPRB Criteria for Review of Performance  
Appraisals and Ratings**

- A. Performance appraisals, initial ratings, interim ratings and senior executive's written responses, if any, and recommended personnel actions should be reviewed and compared only against the criteria identified in PRB charters. Criteria should include:
- o Relationship to the performance plan. Appraisals and ratings must be based solely on elements and standards incorporated in the senior executive's performance plan.
  - o Thoroughness of the appraisal. The appraisal should evidence a thorough and objective assessment of the executive's total performance.
  - o Fairness. The initial ratings should reflect an accurate assessment of the performance of the senior executive as determined in the performance appraisal.
  - o Level of difficulty. The initial ratings should reflect the level of difficulty and presence of any complicating factors which affected expected outcomes.
  - o Relationship of the proposed rating to the standards for that rating. The proposed rating should be consistent with the generic performance standards and any supplemental standards included in the executive's plan.
  - o Weight given to critical elements. Minimally Satisfactory or Unsatisfactory performance against critical elements must not result in a rating of Fully Successful or better. Likewise, Minimally Satisfactory or Unsatisfactory performance against noncritical elements in the plan should not be given undue weight in the overall rating unless the Minimally Satisfactory or Unsatisfactory performance is recurring or chronic.
  - o Comparability. Assigned ratings given for similar performance should be comparable in all aspects, without regard to organizational lines.
  - o Equity. Recommended personnel actions should be equitable and consistent with regard to performance ratings.
  - o Relationship to MBO's and Departmental objectives.
  - o Level of performance. The highest levels of performance warrant

consideration for SES Performance Awards (Bonuses). Are these executives with recommended performance ratings at the highest levels being considered for SES Performance Awards (Bonuses)?

- o Opportunity to correct deficiencies. To the extent an appraisal includes deficiencies that contributed to a rating of less than Fully Successful, the PRB or DPRB should be provided with an indication whether the senior executive has been afforded an adequate opportunity to correct the deficiencies.

- B. In addition to these criteria, PRBs and the DPRB may also have to consider special factors, such as how long performance plans have been in effect.

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**Section 14: Sample Executive Biography**

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**BIOGRAPHICAL SKETCH**

Name

Present Position

Include a paragraph briefly describing current position responsibilities

Previous Experience

Most Recent Experience

19\_\_ - 19\_\_

Earliest Experience

Education

DCES - \_\_\_\_